

**U.S. Department of Education  
Office of Educational Research and Improvement  
Washington, DC 20208**

**Application for a  
Comprehensive School Reform  
Educational Research Grant**

**Supported by the National Research Institutes**

**CFDA Number 84.306S**

**logo**

**Application Transmittal Date  
June 22, 2000**

**Approved OMB Number : 1850-0763  
Expiration Date: 04/30/03**

## **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid Office of Management and Budget (OMB) control number. The valid OMB control number for this information collection is 1850-0763. The time required to complete this information collection is estimated to average 120 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, DC 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Margo Anderson, U.S. Department of Education, 555 New Jersey Avenue, NW, Washington, DC 20208-5530.

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Dear Colleague,

We are pleased to announce the Comprehensive School Reform Research Grants Program for 2000. Through this competition, we hope to more fully understand the dimensions of large-scale implementation of research-based, externally developed comprehensive school reform models as an effective strategy for increasing student achievement in large numbers of schools across the country. We expect that the knowledge gained will strengthen work currently underway in schools implementing comprehensive school reform models and contribute to our overall understanding of how to increase student achievement.

National interest in comprehensive school reform as a strategy for improving student achievement has grown significantly since 1998 when Congress created the Comprehensive School Reform Demonstration Program (CSR/D). This state-administered formula-based program provides financial incentives to schools to implement comprehensive school reform models. Congress invested \$145 million in both 1998 and 1999 to support implementation of comprehensive school reform (CSR). In fiscal year 2000, the amount of funds available to schools was increased to \$220 million. Currently, there are well over 2000 schools implementing CSR models with CSR/D funds or other funds at the state and local levels.

This competition attempts to respond to needs identified by practitioners, policy makers, model developers and others who have been engaged in the use of CSR models during the past several years. It reflects a growing awareness that we have a great deal more to learn about how to use CSR models to enhance student achievement.

Particularly important is the growing awareness that comprehensive school reform as a strategy for improved student achievement will depend not only on the model being implemented, but also on the conditions that exist in schools and districts. What works or does not work in a school or district can be as much a function of the conditions, expectations, and commitment of staff as of any outside intervention, no matter how far-reaching.

With this competition this year, OERI hopes to increase the likelihood that CSR as an intervention can bring about the improvements in student achievement that have eluded us for too long. Together, we have both an opportunity to build on the promising work that has been done and a responsibility to persevere long enough to know if CSR can have the profound effects that we seek.

On behalf of the staff and the OERI National Educational Research Policy and Priorities Board, let me extend in advance our thanks for your thoughtful responses to this announcement.

Sincerely,

C. Kent McGuire

## **The Office of Educational Research and Improvement**

The U.S. Department of Education's Office of Educational Research and Improvement (OERI) provides national leadership for educational research and statistics. OERI strives to promote excellence and equity in American education by:

- conducting research and demonstration projects funded through grants to help improve education;
- collecting statistics on the status and progress of schools and education throughout the nation; and
- distributing information and providing technical assistance to those working to improve education.

This grant competition is supported by OERI's five research institutes, which cover educational topics on student achievement; at-risk students; early childhood; policymaking and governance; and postsecondary education, libraries, and lifelong learning.

To get information about OERI, to learn more about the five research institutes, to locate OERI employees, and to access abstracts of awards, visit the OERI Web Site (<http://www.ed.gov/offices/OERI>).

Additional publications, while supplies last, are available from the U.S. Department of Education's Publications Center (ED Pubs):

- online ordering system  
(<http://www.ed.gov/pubs/edpubs.html>);
- by calling toll free 1-877-4-ED-Pubs;
- by faxing ED Pubs at 1-301-470-1244; or
- by mailing requests to ED Pubs, P.O. Box 1398, Jessup, MD 20794-1398.

## **Program Description**

### **Program Purpose**

The purpose of the Comprehensive School Reform Research Grant Program is to expand understanding of the full dimensions of school reform through rigorous investigation of a large-scale implementation of research-based comprehensive school reform models as a strategy for increasing student achievement. The Office of Educational Research and Improvement (OERI) expects that the knowledge gained from this research program will provide the field with findings about specific models in promoting student achievement, and enhance our understanding of how model developers and staff in schools can more effectively work together to improve student achievement. In addition, it should contribute to our overall understanding of how to increase student achievement, and our continuing efforts to refine and improve education reform strategies.

OERI seeks rigorous designs that contribute in a significant and cumulative way to extant research on comprehensive school reform; and produce findings that are sound, relevant, timely, and useful to practitioners and policymakers. Applicants should demonstrate understanding of research and evaluation in progress, as well as plans for evaluations of this research. Research questions should be informed by the needs of practitioners and policymakers involved in comprehensive school reform initiatives, and be framed in ways that are likely to increase the utility of the findings ultimately produced. In addition, study designs should include mechanisms to share emerging findings with the field, as appropriate.

### **Program Authority**

This grant competition is authorized by P.L. 106-113, the Consolidated Appropriations Act, 2000, and by 20 U.S.C 6031. The following regulations apply: (1) The Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 75, 77, 78, 80-82, 84, 86, 97-99; and (2) 34 CFR 700. (Note: Part 86 applies only to Institutions of Higher Education.) Section 427 of the General Education Provisions Act (GEPA) requires the submission of a statement certifying Equitable Access.

### **Eligibility Requirements**

Proposals may be submitted by institutions of higher education; state and local education agencies; public and private organizations, institutions, and agencies; and individuals. OERI cautions that this solicitation is not intended to support improvement efforts in individual schools or districts but rather to

support research and evaluation efforts resulting in comprehensive school reform strategies for many schools in various communities, districts, and states.

A principal investigator may submit only one proposal and may collaborate in one other proposal as a co-investigator. Group and collaborative proposals involving more than one institution must be submitted as a single administrative package from one of the institutions involved.

➤ ***Collaboration***

The Secretary of Education encourages collaboration in the conduct of research. Proposal teams should reflect synergistic collaborations among model developers, researchers, practitioners, and others likely to produce relevant and actionable findings for educators and policymakers. Research organizations are encouraged to collaborate with groups and institutions historically underrepresented in education research, such as Historically Black Colleges and Universities, Hispanic-Serving Institutions, and Tribal Colleges and Universities.



## **Program Priority**

### **➤ Absolute Priority**

For the purposes of this competition an externally developed research-based comprehensive school reform model is defined as follows:

- It includes an integrated set of supportive materials, frameworks or guidelines, and the capacity to provide implementation assistance to schools.
- It supports all systems within a school—organization, instruction, professional development, and management.
- All of the school's classrooms are actively engaged in and accountable for the implementation of a common, articulated strategy to improve teaching and learning for all students in the school.
- The components are grounded in research on effective practice.
- It has been developed and tested in one set of schools, and has demonstrated capacity to serve other schools.
- There is some evidence of the effectiveness of the model in increasing student achievement.

OERI will only award grants to applicants that propose to expand the current research base for comprehensive school reform by addressing one or more of the following three research questions:

***(1) How effective are specific externally developed, research- based comprehensive school reform models in improving the achievement of all students?***

***(2) How are model characteristics related to success of model implementation and improvement in teaching and learning in specific types of settings and with specific types of students?***

***(3) What supporting conditions and strategies are necessary to effectively implement and sustain comprehensive school reform models in schools and school districts?***

### ➤ **Competitive Priority**

The Secretary of Education gives competitive preference priority to applications that address research question (1), in addition to addressing one or both of the other research questions in a coherent or integrated design. OERI considers research question (1) to be central to the proposed work; and believes studies designed to address this question, and one or both of the other research questions, will increase the rigor and robustness of school reform research and evaluation. In addition, study designs that link elements of research questions (2) and/or (3) with question (1) will be more useful to model developers, policymakers, and practitioners. Under 34 CFR 75.105 (c) (2) (ii), OERI will select an application that meets the competitive priority over an application of comparable merit that does not meet the priority.

### **Award Information**

**Type of awards anticipated:** Discretionary Grant and Cooperative Agreement awards. OERI expects that some studies will be awarded cooperative agreements rather than discretionary grants. OERI anticipates that closer relationships with grantees than those typically afforded by discretionary grants may be appropriate for some studies, such as large-scale longitudinal studies.

**Amount of funds available:** Up to \$5,000,000

**Estimated size of awards:** The size of the awards will be commensurate with the nature and scope of proposed research questions and methodologies.

**Budget period:** 12 months

**Project period:** Up to 36 months, with the exception of large-scale longitudinal field studies that may require 5 years to collect and analyze sufficient student or school outcome data.

**Anticipated date of award:** September 2000

### **Program Contacts**

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Fax: 202-219-2030  
E-mail: debra\_hollinger\_martinez@ed.gov

## **Selection Criteria**

All proposals will be carefully reviewed by at least three persons outside of the sponsoring agency who are experts in the particular field represented by the proposal, and who meet the requirements in 34 CFR Part 700.11. Reviewers will be asked to address each selection criterion identified below and to make an overall recommendation regarding each proposal.

Reviewers will evaluate applications solely on the basis of the criteria identified below. The maximum score for all of the criteria is 100 points. Selection criterion 1 will have a maximum score of 30 points; criterion 2 will have a maximum score of 35 points; criterion 3 will have a maximum score of 20 points; and criterion 4 will have a maximum score of 15 points.

### **I. National Significance (30 points)**

Factors:

- A) The importance of the problem or issue to be addressed.
- B) The potential contribution of the project to increased knowledge or understanding of educational problems, issues, or effective strategies.
- C) The potential for generalizing from project findings or results.
- D) The extent and quality of plans for disseminating results in ways that will allow others to use the information.

### **II. Quality of the Project Design (35 points)**

Factors:

- A) The extent to which the research design includes a thorough, high-quality review of the relevant literature, a high-quality plan for research activities, and the use of appropriate theoretical and methodological tools, including those of a variety of disciplines, where appropriate.
- B) The likelihood that the design of the project will successfully address the intended, demonstrated educational need or needs.
- C) Whether the goals, objectives, and outcomes to be achieved by the project are clearly specified and measurable.

### **III. Quality and Potential Contributions of Personnel (20 points)**

Factors:

- A) The qualifications, including training and experience, of the project director or principal investigator.
- B) The qualifications, including training and experience, of key project personnel.

#### **IV. Quality of the Management Plan and Adequacy of Resources (15 points)**

Factors:

- A) The adequacy of the management plan to achieve the objectives of the project, including the specification of staff responsibility, timelines, and benchmarks for accomplishing project tasks.
- B) The adequacy of plans for ensuring high-quality products and services.
- C) Whether the costs are reasonable in relation to the objectives, design, and potential significance of the project.
- D) Whether time commitments of the project director or principal investigator and other key personnel are appropriate and adequate to meet project objectives.
- E) The adequacy of plans for ensuring continuous improvement in the operation of the project.

## **Proposal Preparation Instructions**

Applicants should carefully review all the instructions in this application. Experience shows that high-scoring applications propose a strong research project of national significance, and that the applications themselves address each selection criterion fully.

Strong applications make a reasoned and compelling case for the national significance of the problem or issues that will be the subject of the proposed research. The design of the work to be carried out is complete and clearly delineated, incorporating sound research methods and appropriate statistical techniques. The personnel descriptions included in the application make apparent that the project director, principal investigator, and other key personnel collectively and individually possess training and experience commensurate with the proposed scope of work. The management plan and budget are also clearly delineated and justified in terms of the proposed activities, and demonstrate that key personnel will commit sufficient time to the project.

### **Application Format and Length**

All applications must include the following six sections to be considered for funding under this program:

- title page form;
- research narrative—not to exceed 50 pages;
- management plan—not to exceed five pages;
- biographical sketches for principal investigators and other key personnel (not to exceed three pages per individual);
- budget summary form with budget narrative; and
- statement of equitable access (GEPA 427).

### **Please note: Appendices are not acceptable.**

Only the *acceptable* materials included in the application at the time of submission will be sent to the peer reviewers. The research narrative must not exceed a total of 50 pages, with printing on only one side of the paper, on 8 1/2 x 11-inch paper. The management plan must not exceed five pages, and each biographical sketch should not exceed three pages. All pages in excess of the maximums established will be removed unread. Appendix materials for the narrative *should not* be submitted, and also will be removed unread. The purpose of these limitations is to encourage concisely written proposals that will facilitate high quality reviews of the proposals.

We strongly encourage applicants to use double-spacing, a 12-point font, and 1-inch margins. We have found that reviewers are able to conduct the highest quality review when applications are concise and easy to read, with pages consecutively numbered.

Each application must be a self-contained document. The application should not be bound or enclosed in a folder. The preferred method is to clip or staple the application. All sections of the application must be suitable for photocopying in order to be included in the materials given to the reviewers.

## **Contents of the Application**

### **➤ Title Page**

Use the Title Page form in appendix B as the cover for each copy of your application. Follow the instructions for completing the form included in this application package. Be sure to include an abstract of your proposed research project in the space provided. If your application is funded, this abstract may be sent to your congressional representatives as a description of your project. It may also be the basis of a public announcement about the grant awards. Completion of the Protection of Human Subjects in Research clearance is critical. *Be sure that the certifying representative of your institution signs this Title Page form.*

### **➤ Research Narrative**

The bulk of your application should consist of a research narrative (not to exceed 50 pages) that addresses the following:

- national significance of the specific problem or issue to be addressed, and the potential of the project to produce relevant, timely, and actionable findings; and
- quality of the proposed project design.

Since the reviewers will evaluate “National Significance” and “Quality of the Project Design” under separate criterion (see Selection Criteria), it is recommended that the research narrative be aligned with those criteria. Each applicant should take care to ensure that the description of methodology and analytical techniques includes all critical elements such as the research population, subject selection criteria, sampling procedures, measurement criteria, and instructional components and definitions.

Applicants may provide other relevant information within the research narrative, including pertinent exhibits, but appendix materials for the narrative should not be submitted and will be removed unread. All pages in excess of the 50-page maximum will be removed unread.

➤ **Management Plan**

Each applicant must include a management plan, not to exceed five pages, that specifies benchmarks, timelines, and staff responsibility for accomplishing project tasks. List key project personnel and level of effort, including their names, roles on the proposed project, and time commitment to the project.

➤ **Biographical Sketches**

Be sure to include biographical sketches of principal investigator(s) and other key personnel. Biographical sketches should provide information to be used by reviewers in the assessment of each individual's qualifications for a specific role in the proposed project, as well as to evaluate the overall qualifications of the research team. A biographical sketch is required for all key personnel. Each sketch should include:

- name, address, and current affiliation;
- level of education completed, degrees obtained, and schools attended;
- information, including overall goals and responsibilities, on completed and ongoing projects which demonstrate the nature and scope of the candidate's experience with comprehensive school reform, and with the specific work to be performed under this grant;
- selected peer-reviewed publications, with full citations; and
- position(s) and any honors.

No more than three pages should be used for each person.

➤ **Budget and Budget Narrative**

A complete budget for each year of the project must be included (use the Budget Summary form provided in appendix B or a suitable facsimile).

Each 12-month budget period should be clearly delineated and justified in terms of the proposed activities. A separate budget narrative must be provided to justify each line item in the completed Budget Summary form (budget narratives may be single-spaced). Be sure to include funds in your budget for any post-award requirements.

NOTE: Successful applicants may be asked to provide more detailed budget information.

### ➤ **Statement of Equitable Access**

Section 427 of the General Education Provisions Act (GEPA) requires applicants to include in their proposal a succinct description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally assisted research program for students, teachers, and others with special needs. GEPA 427 highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you can determine whether these or other barriers may prevent students, teachers, and others from such access or participation.

Your description need not be lengthy. However, you must identify barriers to access or participation, and provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. This information should be provided in a statement separate from the research narrative.

GEPA 427 is not intended to duplicate the requirements of the civil rights statutes, but rather to ensure that, in designing their projects, applicants for federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve high standards.

An applicant may use the federal funds awarded to it to eliminate barriers it identifies.

### **Number of Copies**

All applicants are *required* to submit one signed original and two copies of the application. Each copy of the application must include a Title Page form.

Applicants are *requested* to submit five additional copies of the entire application, including the Title Page form. The reviewers will use these copies.



## **Submission of Applications**

**The deadline for transmittal of applications is June 22, 2000.**

***If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:***

Applications Delivered By Mail. You must mail the original and five copies of the application on or before the deadline date to: U.S. Department of Education, Application Control Center, Attention: CFDA Number 84.306S, (be sure to include correct alpha description), 400 Maryland Avenue, SW, Washington, DC 20202-4725.

You must show one of the following as proof of mailing:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary of Education.

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

An applicant is encouraged to use registered or at least first-class mail.

Each late applicant will be notified that its application will not be considered.

Applications Delivered By Hand. An application that is hand delivered must be taken to the U.S. Department of Education, Application Control Center, Room 3633, Regional Office Building 3, 7th and D Street SW, Washington, D.C. 20202-4725.

The Application Control Center will accept hand delivered applications between 8:00 a.m. and 4:30 p.m. (Washington, DC Time) daily, except Saturdays, Sundays and federal holidays. Individuals delivering applications must use the D Street entrance. Proper identification is necessary to enter the building.

## **Awards**

### **Notification**

A program officer will make an offer of the approved and recommended award to the submitting applicant. In all cases, after acceptance has been obtained, the recommended award will be processed, and a grant or cooperative agreement will be issued.

Applicants are cautioned that no commitment on the part of OERI should be inferred from preliminary technical or budgetary discussions with a program officer. A principal investigator or organization that makes financial or personnel commitments in the absence of a grant or cooperative agreement signed by the OERI authorizing official does so at its own risk.

The cognizant program division administering the program will advise organizations whose proposals are declined as promptly as possible. Verbatim copies of reviews, not including the identity of the reviewer, will be provided automatically to the principal investigator.

### **Assurances and Certifications**

Applicants selected for funding will be required to submit certain assurances and certifications *before* a grant is issued. They include certifications regarding lobbying; debarment, suspension, and other responsibility matters; drug-free workplace requirements; and assurances regarding nonconstruction programs.

In addition, the U.S. Department of Education's policy on the protection of human subjects require that each institution engaged in the conduct of covered research activities provide Certification that the designated Institutional Review Board (IRB) has reviewed and approved the proposed research activities.

See appendix C for additional information on the required certifications and assurances. Forms will be issued to applicants who are selected for funding, and grant awards cannot be made until the signed forms are received by OERI.

## **Post-Award Requirements**

### **Government Performance and Results Act**

The Government Performance and Results Act (GPRA) of 1993 places new management expectations and requirements on Federal departments and agencies by creating a framework for more effective planning, budgeting, program evaluation, and fiscal accountability for Federal programs. The intent of the Act is to improve public confidence by holding departments and agencies accountable for achieving program results. Departments and agencies must clearly describe the goals and objectives of their programs, identify resources and actions needed to accomplish these goals and objectives, develop a means of measuring progress made, and regularly report on their achievement. One important source of program information on successes and lessons learned is the project evaluation conducted under individual grants.

### **Reporting Requirements**

For all multiyear grants, the principal investigator must submit an annual project report to the designated program officer at least 90 days before the end of the current budget period. Within 90 days after expiration of a grant, the grantee also is required to submit a final project report.

### **Program Collaboration**

Principal investigators will be required to meet at least twice each year with agency staff, consultants, and other OERI grantees and contractors for the purpose of expanding collaborative efforts within this field of research. OERI anticipates the possibility of funding two or more proposals that address the same or similar themes, topics, or issues. OERI provides opportunities for grantees to inform each other's work by discussing common challenges, methodological issues, and ways to maximize the impact of this program on student achievement for all students. Principal investigators will also be required to help identify crosscutting research issues, and to work together to better inform other researchers, practitioners, and policymakers of emerging findings.

Depending upon the type of research proposed, OERI might require some common study design elements. Where the effectiveness of individual models is studied, for example, investigators may be asked to develop a core of common research questions, outcome measures, instruments, or data analysis procedures so that study findings are comparable.

## **Interim Review**

OERI will evaluate and assess the performance of recipients of grants and cooperative agreements during and/or at the conclusion of the performance of the grant, cooperative agreement, or contract. Peer reviews will be carried out in accordance with 34 CFR Part 702: “Standards for Conduct and Evaluation of Activities Carried Out by the Office of Educational Research and Improvement (OERI)—Evaluation of the Performance of Recipients of Grants, Cooperative Agreements, and Contracts.”

## **Things to Check Before You Submit Your Application**

### **Review the Title Page form for the following:**

- The Title Page form must be completed according to the instructions in this package.
- The human subjects (item #8 of the Title Page form) must be completed.
- The Title Page form must be signed and dated by the certifying representative, and the signed *original* must be included in your submission to the Department.

### **Review your application. It should include the following six sections, in this order:**

- the Title Page form (application cover page);
- the research narrative, no more than 50 pages;
- the management plan, no more than five pages;
- biographical sketches of principal investigator(s) and key personnel, no more than three pages;
- the Budget Summary form and a detailed budget narrative; and
- the statement of equitable access (GEPA 427).

**The package should include one original plus two copies of the application. Five additional copies (for a total of seven copies) are requested,** but are not required. Each application should be clipped or stapled, not bound or enclosed in a folder.

**Check the address. See the “Submission of Applications” section of this package for the correct mailing or hand delivery address.**

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## **Appendix A: Notices**

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The following notices apply to this program:

- *Federal Register* Notice
- “Important Notice to Prospective Participants in U.S. Department of Education Grant and Contract Programs”

The *Federal Register* Notice is available at <http://www.ed.gov/GrantApps/>

**Important Notice to Prospective Participants  
in U.S. Department of Education  
Grant and Contract Programs**

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds.

Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste. For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that.

**Failure to meet a deadline will mean that an application will be rejected without any consideration.**

The rules, including the deadline, for applying for each grant are published individually in the Federal Register. A one-year subscription to the Register may be obtained by sending \$555.00 to Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402-9371. (Send check or money order only, no cash or stamps.)

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employees are authorized to extend any deadline published in the Federal Register.

Questions regarding submission of applications may be addressed to:

U.S. Department of Education  
Application Control Center  
Washington, DC 20202-4725

**Contracts**

Competitive procurement actions undertaken by the ED are governed by the Federal Procurement Regulation and implementing ED Procurement Regulation.

Generally, prospective competitive procurement actions are synopsisized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP).

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP.

Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP.

A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to: Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402-9371.

In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may, therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

ED Form 5348,8/92



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## **Appendix B: Required Forms**

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The following forms must be submitted with your application.

- **Title Page Form**
- **Protection of Human Subjects in Research  
(Attachment to Title Page Form)**
- **Budget Summary Form**

**TITLE PAGE FORM**  
 Comprehensive School Reform Research Grant Program—CFDA 84.306S  
 U.S. Department of Education

1. DUNS No.: _____		Application No. (For ED use only)							
2. APPLICANT: Name: _____ _____ Address: _____ _____ _____	3. PROJECT DIRECTOR: Name: _____ Title: _____ Address: _____ _____ Telephone: _____ Fax: _____ Email: _____								
4. Federal Funds Requested: <table style="width: 100%; border: none;"> <tr> <td style="width: 33%;">1<sup>st</sup> Year: \$ _____</td> <td style="width: 33%;">4<sup>th</sup> Year: \$ _____</td> </tr> <tr> <td>2<sup>nd</sup> Year: \$ _____</td> <td>5<sup>th</sup> Year: \$ _____</td> </tr> <tr> <td>3<sup>rd</sup> Year: \$ _____</td> <td>Total: \$ _____</td> </tr> </table>		1 <sup>st</sup> Year: \$ _____	4 <sup>th</sup> Year: \$ _____	2 <sup>nd</sup> Year: \$ _____	5 <sup>th</sup> Year: \$ _____	3 <sup>rd</sup> Year: \$ _____	Total: \$ _____	5. Duration of Project: Starting Date: _____ Ending Date: _____ Total Number of Months: _____	
1 <sup>st</sup> Year: \$ _____	4 <sup>th</sup> Year: \$ _____								
2 <sup>nd</sup> Year: \$ _____	5 <sup>th</sup> Year: \$ _____								
3 <sup>rd</sup> Year: \$ _____	Total: \$ _____								
6. Application Title:									
7. Brief Abstract of Application: (Use this space only)									
8. Are any research activities involving human subjects planned at any time during the proposed project period? <input type="checkbox"/> Yes <input type="checkbox"/> No → a. If “Yes,” Exemption(s) #: <span style="border: 1px solid black; display: inline-block; width: 100px; height: 1.2em; vertical-align: middle;"></span> <b>OR</b> b. Assurance of Compliance #: <span style="border: 1px solid black; display: inline-block; width: 100px; height: 1.2em; vertical-align: middle;"></span> c. IRB approval date: _____ → <input type="checkbox"/> Full IRB <b>OR</b> <input type="checkbox"/> Expedited Review									
9. Certification by Authorizing Official The applicant certifies to the best of his/her knowledge and belief that the data in this application are true and correct and that the filing of the application has been duly authorized by the governing body of the applicant.  Name: _____ Title: _____  Signature: _____ Date: _____ Telephone: (    ) _____									

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## Instructions for Completing Title Page Form

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**ITEM 1. D-U-N-S NUMBER:** Enter the applicant's D-U-N-S number. If your organization does not have a D-U-N-S number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:  
<http://www.dnd.com/dbis/aboutb/intlduns.htm>

**ITEM 2. LEGAL APPLICANT:** Enter the name and complete mailing address of the organization, agency, or individual that will serve as the legal applicant. When more than one organization or agency is involved, enter the name of the one which will be responsible for budget control. NOTE: Acknowledgments of grant awards are sent to this address.

**ITEM 3. PROJECT DIRECTOR:** Enter the name and complete mailing address of the Project Director or Co-Directors. NOTE: The name and address listed here will be used to mail notifications of application status. Do not forget to include the telephone number. Both this address and the Legal Applicant address should be detailed.

**ITEM 4. FEDERAL FUNDS REQUESTED:** Enter the amount of federal funds being requested in each year of the project. Under "TOTAL" enter the cumulative amount requested for the duration of the project.

**ITEM 5. DURATION OF THE PROJECT:** Enter appropriate starting and ending dates.

**ITEM 6. APPLICATION TITLE:** Self-explanatory.

**ITEM 7. BRIEF ABSTRACT OF APPLICATION:** Keep concise and substantive.

**ITEM 8. HUMAN SUBJECTS:** If research activities involving human subjects are **not** planned **at any time** during the proposed project, check "**No.**" The remaining parts of item 8 are then not applicable.

If research activities involving human subjects, whether or not exempt from federal regulations for the protection of human subjects, **are** planned **at any time** during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution, check "**Yes.**"

If the research activities are designated to be exempt under the regulations, enter in item 8a the exemption number(s) corresponding to one or more of the six exemption categories listed in **“PROTECTION OF HUMAN SUBJECTS IN RESEARCH”** attached to this form. Provide sufficient information in the application to allow a determination that the designated exemptions are appropriate.

If the planned research activities involving human subjects are covered (not exempt), complete the remaining parts of item 8 and follow the instructions in **“PROTECTION OF HUMAN SUBJECTS IN RESEARCH”** attached to this form.

If the applicant organization has an approved Multiple Project Assurance of Compliance on file with the Grants Policy and Oversight Staff (GPOS), U.S. Department of Education, or with the Office for Protection from Research Risks (OPRR), National Institutes of Health, U.S. Department of Health and Human Services, that covers the specific activity, enter the Assurance number in item 8b and the date of approval by the Institutional Review Board (IRB) of the proposed activities in item 8c. This date must be no earlier than 1 year before the receipt date for which the application is submitted and must include the 4 digit year (e.g., 2000). Check the type of IRB review in the appropriate box. An IRB may review an application through an expedited review procedure only if it complies with Section 97.110 of the human subjects regulations 34 CFR 97. If the IRB review is unavoidably delayed beyond the submission of the application, enter “Pending” in item 8c. A follow-up certification of IRB approval from an official signing for the applicant organization must then be sent to and received by the designated U.S. Department of Education official.

If the applicant organization does not have on file with GPOS or OPRR an approved Assurance of Compliance that covers the proposed research activity, enter **“None”** in item 8b. In this case, the applicant organization, by the signature on the application, is declaring that it will comply with 34 CFR 97 within 30 days of a specific formal request from the designated Department official. The U.S. Department of Education’s regulations for the protection of human subjects, 34 CFR, Part 97, require that each institution engaged in the conduct of covered research activities have an approved Assurance of Compliance on file and provide Certification that the Institutional Review Board (IRB) designated in the Assurance has reviewed and approved the proposed research activities **before the research activities are initiated**. The certification must be received within 30 days of a specific formal request from the designated Department official, and must include: the PR Award number; title of the project from item #8; name of the principal investigator, project director, fellow, or other; institution; Multiple Assurance number; date of IRB approval; and appropriate signatures.

Copies of the U.S. Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97, and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff (GPOS), Office of the Chief Financial and Chief Information Officer, U.S. Department of Education, Washington, DC, 20202, telephone: (202) 708-8263, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site (<http://ocfo.ed.gov/humansub.htm>).

**ITEM 9. CERTIFICATION BY AUTHORIZING OFFICIAL:** Enter the name, title, and telephone number of the official who has the authority both to commit the legal applicant to accept federal funding and to execute the proposed project. Submit the original ink-signed copy of the authorizing official's signature.

## Budget Summary Form

Budget Item	YEAR 1		
	Requested from ED	Support by Other Sources	TOTAL
<b>A. DIRECT COSTS:</b>			
1. Salaries (professional & clerical)			
2. Employee Benefits			
3. Employee Travel			
4. Equipment (purchase)			
5. Materials & Supplies			
6. Consultants and Contracts			
7. Other (equip, rental, printing, etc.)			
8. Total Direct Costs			
<b>B. INDIRECT COSTS</b>			
<b>C. TOTAL</b>			

  

Budget Item	YEAR 2		
	Requested from ED	Support by Other Sources	TOTAL
<b>A. DIRECT COSTS:</b>			
1. Salaries (professional & clerical)			
2. Employee Benefits			
3. Employee Travel			
4. Equipment (purchase)			
5. Materials & Supplies			
6. Consultants and Contracts			
7. Other (equip, rental, printing, etc.)			
8. Total Direct Costs			
<b>B. INDIRECT COSTS</b>			
<b>C. TOTAL</b>			

  

Budget Item	YEAR 3		
	Requested from ED	Support by Other Sources	TOTAL
<b>A. DIRECT COSTS:</b>			
1. Salaries (professional & clerical)			
2. Employee Benefits			
3. Employee Travel			
4. Equipment (purchase)			
5. Materials & Supplies			
6. Consultants and Contracts			
7. Other (equip, rental, printing, etc.)			
8. Total Direct Costs			
<b>B. INDIRECT COSTS</b>			
<b>C. TOTAL</b>			

Budget Item	YEAR 4 (if applicable)		
	Requested from ED	Support by Other Sources	TOTAL
A. DIRECT COSTS:			
1. Salaries (professional & clerical)			
2. Employee Benefits			
3. Employee Travel			
4. Equipment (purchase)			
5. Materials & Supplies			
6. Consultants and Contracts			
7. Other (equip, rental, printing, etc.)			
8. Total Direct Costs			
B. INDIRECT COSTS			
C. TOTAL			
Budget Item	YEAR 5 (if applicable)		
	Requested from ED	Support by Other Sources	TOTAL
A. DIRECT COSTS:			
1. Salaries (professional & clerical)			
2. Employee Benefits			
3. Employee Travel			
4. Equipment (purchase)			
5. Materials & Supplies			
6. Consultants and Contracts			
7. Other (equip, rental, printing, etc.)			
8. Total Direct Costs			
B. INDIRECT COSTS			
C. TOTAL			

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## Instructions for Completing Budget Summary Form

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### A. DIRECT COSTS

1. **Salaries (professional & clerical):** Show salaries and wages to be paid to personnel employed in the project. Fees and expenses for consultants must be included in item A.6.

2. **Employee Benefits:** Include contributions for Social Security, employee insurance, pension plans, and the like. Leave blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect cost rate.

3. **Employee Travel:** Indicate the amount requested for travel of employees. Please include round-trip travel to Washington, DC, for the required number of project director's meeting each year.

4. **Equipment (purchase):** Indicate the cost of non expendable personal property, which has a useful life of more than 2 years. Provide per unit costs in the budget narrative.

5. **Materials and Supplies:** Include the cost of consumable supplies and materials to be used in the project.

6. **Consultants and Contracts:** Show the amount to be used for: (a) subgrants or payments for consultants and secondary recipient organizations such as affiliates and cooperating institutions; and (b) procurement contracts (except those which are included on the lines for supplies and for equipment).

7. **Other (equipment rental, printing, etc.):** Indicate all other direct costs not covered in lines 1 through 6.

8. **Total Direct Costs:** Show totals for lines 1 through 7.

### B. INDIRECT COSTS

Indicate the amount of indirect costs to be charged to the program or project. Explain the indirect cost rate and base in the budget narrative.



**C. TOTAL**

Add lines A8 and B.

Please note that these items should be completed for each year of the budget request.

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## Appendix C: Assurances and Certifications

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Applicants selected for funding will be required to submit the following *before* a grant is issued:

- A signed Form ED 80-0013 (“Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements”);
- Standard Form SF 424B (“Assurances—Non-Construction Programs”);
- Standard Form LLL (“Disclosure of Lobbying Activities”); and
- Certification of Approval of Human Subject Research. (If the applicant organization does not have on file with Grants Policy and Oversight Staff (GPOS) or Office for Protection from Research Risks (OPRR) an approved Assurance of Compliance that covers the proposed research activity, you may be required to comply with 34 CFR 97 within 30 days of request from the designated Department official.)

For additional instructions regarding proposals that involve human subjects research see, “**Protection of Human Subjects in Research**” form, above. Copies of the Department’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff (GPOS), Office of the Chief Financial and Chief Information Officer, U.S. Department of Education, Washington, DC, telephone: (202) 708-8263, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site (<http://ocfo.ed.gov/humansub.htm>).

**Grant awards will not be made until the required forms and signatures are received by the designated U.S. Department of Education official.**

## **GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT**

**If you fail to receive the notification of application receipt within fifteen (15) days from the closing date call:**

U.S. Department of Education  
Application Control Center  
(202) 708-9493

## **GRANT AND CONTRACT FUNDING INFORMATION**

**The Department of Education provides information about grant and contract opportunities electronically in several ways:**

ED Internet Home Page      <http://www.ed.gov>      (WWW address)

OCFO Web Page Internet      <http://ocof.ed.gov>      (WWW address)